



Department of Defense DIRECTIVE

NUMBER 5106.4

January 7, 1993

Administrative Reissuance Incorporating Change 1, May 21, 1993

DA&M

SUBJECT: Inspectors General (IGs) of the Unified and Specified Combatant Commands

References: (a) Title 10, United States Code
(b) Secretary of Defense Memorandum, "Expansion of Inspectors General Activities," January 18, 1973 (hereby canceled)
(c) DoD Directive 7050.1, "Defense Hotline Program," March 20, 1987
(d) DoD Directive 5240.1, "DoD Intelligence Activities," April 25, 1988
(e) DoD 5240.1-R, "Procedures Governing the Activities of DoD Intelligence Components that Affect United States Persons," December 1982, authorized by DoD Directive 5240.1, April 25, 1988

1. PURPOSE

Under the authority vested in the Secretary of Defense by Section 113 of reference (a), this Directive supersedes reference (b), and establishes the position of IG and the Office of the Inspector General (OIG) in each Unified and Specified Combatant Command, and, where appropriate, in subordinate joint commands; and sets forth organization, management, responsibilities, functions, relationships, and administration as outlined below.

2. APPLICABILITY

This Directive applies to the Office of the Secretary of Defense, the Military Departments, the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Unified and Specified Combatant Commands (which shall include, for purposes of this Directive, the Commander, US Element NORAD), the Inspector General of the

Department of Defense, the Defense Agencies, and the DoD Field Activities.

3. ORGANIZATION AND MANAGEMENT

The OIG in each Unified and Specified Combatant Command shall *normally* consist of:

3.1. The IG, who shall be designated by the commander of the command from among the officers of the command at the grade of colonel or Navy captain or above.

3.2. Deputy or Assistant IGs designated by the IG from among the commissioned and noncommissioned officers made available for that purpose by the commander of the command.

3.3. Administrative and support personnel necessary to accomplish assigned functions.

3.4. Additional evaluation, inspection, and investigation personnel necessary to accomplish assigned functions provided by augmentation from within command resources, subordinate joint commands, and activities and from component commands.

4. RESPONSIBILITIES AND FUNCTIONS

The Inspector General is responsible to the commander for monitoring, evaluating, assessing, and inspecting operational and other areas essential to mission performance, and for evaluating the ability of all echelons of the command to accomplish assigned missions. The IG will be principally concerned with operational matters; however, at the direction of the combatant commander concerned, the IG may inspect any matter within the scope of the commander's authority. In the exercise of these responsibilities, the IG shall:

4.1. Prepare a master schedule of evaluations and inspections, for the approval of the commander, that is based on the inspected unit's mission-essential tasks, and identifies any areas that require particular evaluation assistance or feedback.

4.2. Conduct scheduled evaluations and inspections, no-notice evaluations and inspections, and investigations, as directed by the commander or by higher authority through the commander.

4.3. Coordinate necessary unified command IG activities and matters with IGs of component commands, as appropriate.

4.4. Evaluate operational command and control (C2) by determining the adequacy of:

4.4.1. Operational C2 directives (e.g., rules of engagement and other guidance pertaining to operations) and the understanding thereof by personnel concerned.

4.4.2. C2 communications.

4.4.3. C2 procedures for exercising the combatant command.

4.4.4. Knowledge and performance of key personnel, especially new commanders, of procedures and policies in exercising C2 functions.

4.4.5. Equipment and manpower resource capability, availability, and reliability to perform the operational mission.

4.5. Evaluate the operational readiness of the forces by examining the following, insofar as they pertain to the command:

4.5.1. Planning and conduct of operations and exercises, particularly joint and combined operations and exercises.

4.5.2. Sufficiency of administration, support, logistics, and discipline of assigned forces necessary to carry out missions assigned to the command.

4.5.3. Compliance with joint doctrine in training, both joint and single Service.

4.5.4. Delineation of responsibilities for operations.

4.5.5. Compliance with doctrine, approved by the Chairman of the Joint Chiefs of Staff, for joint and combined operations.

4.5.6. Coordination of the forces of two or more Services for the accomplishment of an assigned mission.

4.5.7. The readiness reporting system to determine its responsiveness to the requirements of the commander.

4.6. Evaluate the command's operations security (OPSEC) program by examining

the following:

4.6.1. Compliance with applicable DoD OPSEC guidance on inter-Service operations and operations under the command of the combatant commander.

4.6.2. Assignment of responsibility for OPSEC direction and implementation.

4.6.3. Requirements to plan for and implement OPSEC in anticipation of and, where appropriate, during operational and associated support activity.

4.6.4. Direction to use OPSEC analytical techniques to assist in identifying vulnerabilities and selection of appropriate OPSEC measures.

4.6.5. Enactment of measures to ensure that all personnel, commensurate with their position and security clearances, are aware of adversarial threats and understand the five-step OPSEC process.

4.6.6. Annual review and evaluation of OPSEC procedures that assist in the improvement of command OPSEC programs.

4.6.7. Provision for inter- and intra-command support and cooperation on OPSEC programs.

4.6.8. Issuance of OPSEC policy, procedures, and planning guidance.

4.6.9. Programming and budgeting to implement the command OPSEC program.

4.6.10. Appropriate OPSEC planning requesting assistance from the Service cryptologic resources for communications security and computer security support for military operations and related activity.

4.6.11. Overall effectiveness of OPSEC programs within the commands, as a subject of special interest, during all evaluations and inspections. This effort will be complementary to Service OPSEC programs.

4.7. Report the results of each evaluation, inspection, or investigation to the commander.

4.8. Recommend necessary actions to correct deficiencies revealed during evaluations, inspections, or investigations and to correct exercise problems and

deficiencies that cross directorate, organizational, or Service boundaries.

4.9. Monitor the progress and effectiveness of actions initiated to correct deficiencies revealed during evaluations, inspections, or investigations, and, particularly, exercise problems and deficiencies that cross directorate, organizational, or Service boundaries.

4.10. Review and investigate complaints received from the Defense Hotline Program in accordance with DoD Directive 7050.1 (reference (c)).

4.11. Provide oversight of intelligence activities for the combatant command, in coordination with component command and Service IGs, in accordance with DoD Directive 5240.1 (reference (d)) and DoD 5240.1-R (reference (e)).

4.12. Perform such other inspector general duties for the command as may be assigned from time-to-time by the commander of the command.

5. RELATIONSHIPS

5.1. In the performance of assigned responsibilities and functions, the IG shall:

5.1.1. Report directly to the commander.

5.1.2. Coordinate IG activities and matters with IGs of component commands and Military Services, as appropriate, to avoid unnecessary duplication of effort, particularly in the administrative and support areas.

5.1.3. Comply with this Directive and other applicable DoD guidance.

5.1.4. Refer to the appropriate commander for disposition any matter not within the area of responsibility of IGs that becomes evident during the conduct of IG inspections or evaluations.

5.2. Combatant commanders are authorized to evaluate any forces under their combatant command or operational control; however:

5.2.1. Unified commanders shall coordinate with combined operation or exercise commanders when conducting IG evaluations of U.S. units assigned or attached to a combined commander, either on a permanent or temporary basis.

5.2.2. Forces under the resource management of another commander will be

inspected by the commander who has combatant command, as he deems necessary, to maintain operational readiness, keeping the resource manager informed.

5.3. Nothing in this Directive shall be construed to limit or otherwise affect the authorities and duties of the Inspector General of the Department of Defense under applicable laws and DoD Directives.

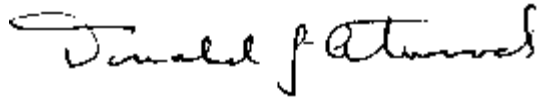
6. ADMINISTRATION

6.1. The IG shall submit reports on the results of all evaluations, inspections, and investigations directly to the commander, with an information copy to the subordinate inspected commander. IGs of commands having operational control of dual based forces or resource management of forces will also forward a copy of inspection reports to the commander who has combatant command of the forces. The commander of the combatant command will review and forward substantive reports of the IG and those of the appropriate subordinate joint commands, together with his comments, to the Chairman of the Joint Chiefs of Staff for review, who shall forward such reports to the Secretary of Defense and other DoD officials, as appropriate. Simultaneously with the submission to the Chairman of the Joint Chiefs of Staff, the commander of the combatant command will forward the results of evaluations, inspections, and investigations requiring Service corrective action to the appropriate supporting CINC and/or Secretary of the Military Department concerned.

6.2. Prior to the beginning of a fiscal year, the commander of each combatant command shall forward a master schedule of planned prior-notice evaluations and inspections for that fiscal year to the Chairman of the Joint Chiefs of Staff.

7. EFFECTIVE DATE

This Directive is effective immediately.

A handwritten signature in cursive script, reading "Donald J. Atwood".

Donald J. Atwood
Deputy Secretary of Defense